

Electronic Acknowledgement Receipt

EFS ID:	6160583
Application Number:	10753069
International Application Number:	
Confirmation Number:	5428
Title of Invention:	Systems and methods for trading actively managed funds
First Named Inventor/Applicant Name:	Clifford J. Weber
Customer Number:	22930
Filer:	Michael Jay Stimson/Cathe Zinn
Filer Authorized By:	Michael Jay Stimson
Attorney Docket Number:	00322.0008.CPUS01
Receipt Date:	28-SEP-2009
Filing Date:	08-JAN-2004
Time Stamp:	18:24:15
Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	no
------------------------	----

File Listing:

Document Number	Document Description	File Name	File Size(Bytes)/ Message Digest	Multi Part /.zip	Pages (if appl.)
1	Amendment After Final	AmendmentsAndResponse.pdf	1250731 af8df81bae93bf132bb57e8abeb55f725623cd33	no	26

Warnings:

Information:

2	Oath or Declaration filed	DallmerDeclaration.pdf	171509	no	5
			7cd26f23ec68850085e83515e68561d8848c23e3		
Warnings:					
Information:					
3	Oath or Declaration filed	Exhibit2BakerDecl.pdf	219583	no	18
			a0681349aaa8652024306af27e4c6a3bc3e12c85		
Warnings:					
Information:					
4	Oath or Declaration filed	Exhibit5BakerDecl.pdf	215431	no	3
			d736b37bee6be0a32580448668fa37221750f5c4		
Warnings:					
Information:					
5	Oath or Declaration filed	Exhibit6BakerDecl.pdf	3368324	no	112
			3f7e6806e3e79ceec72002be4c6bea2c9d10b899		
Warnings:					
Information:					
6	Oath or Declaration filed	Exhibit8BakerDecl.pdf	678468	no	22
			512e2ba11d94e375cd58209babe548f3bb19f94c		
Warnings:					
Information:					
7	Oath or Declaration filed	BakerDeclaration.pdf	976087	no	14
			09081179fee2e4dcba4a195d02237d07c9844e74		
Warnings:					
Information:					
8	Oath or Declaration filed	Exhibit1BakerDecl.pdf	117623	no	3
			c8a6a494f0db7356ae8348b4e5a6240aea074f69		
Warnings:					
Information:					
9	Oath or Declaration filed	Exhibit3BakerDecl.pdf	225830	no	4
			3107f124f1e1749b62da5da153a0128058840e59		
Warnings:					
Information:					
10	Oath or Declaration filed	Exhibit4BakerDecl.pdf	172479	no	3
			eea147af8e620f1980a54284ffbca9a551c072caa		
Warnings:					
Information:					

11	Oath or Declaration filed	Exhibit7BakerDecl.pdf	278726 312d27456ab91531ca8bb65495c5ab538e050c25	no	2
Warnings:					
Information:					
Total Files Size (in bytes):			7674791		
<p>This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.</p> <p><u>New Applications Under 35 U.S.C. 111</u> If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.</p> <p><u>National Stage of an International Application under 35 U.S.C. 371</u> If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.</p> <p><u>New International Application Filed with the USPTO as a Receiving Office</u> If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.</p>					